

STATE OF ILLINOIS  
SECRETARY OF STATE  
SECURITIES DEPARTMENT

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IN THE MATTER OF:PRESTON RUNYAN  
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FILE NO. 0900365

**CONSENT ORDER OF SUSPENSION**

TO THE RESPONDENT:

Preston Runyan  
(CRD#: 1489516)  
68 Winthrop New Road  
New Sugar Road, Illinois 60554

Preston Runyan  
(CRD#: 1489516)  
c/o World Equity Group, Inc.  
1650 N. Arlington Heights Road Suite 100  
Arlington Heights, Illinois 60004-3984

Preston Runyan  
(CRD#: 1489516)  
c/o David A. Genelly Attorney At Law  
Vanasco Genelly & Miller  
33 North LaSalle Street Suite 2200  
Chicago, Illinois 60602

WHEREAS, Respondent on the day 23<sup>rd</sup> of March 2010 executed a certain Stipulation to Enter Consent Order of Suspension (the "Stipulation"), which hereby is incorporated by reference herein.

WHEREAS, by means of the Stipulation, Respondent has admitted to the jurisdiction of the Secretary of State and service of the Notice of Hearing of the Secretary of State, Securities Department, dated November 30, 2009, in this proceeding (the "Notice") and Respondent has consented to the entry of this Consent Order of Suspension ("Consent Order").

WHEREAS, by means of the Stipulation, the Respondent acknowledged, without admitting or denying the truth thereof, that the following allegations contained in the Notice of Hearing shall be adopted as the Secretary of State's Findings of Fact:

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1. That at all relevant times, the Respondent was registered with the Secretary of State as a salesperson in the State of Illinois pursuant to Section 8 of the Act.
2. That on July 29, 2009 FINRA entered Order Accepting Offer Of Settlement submitted by the Respondent ("Order") regarding Disciplinary Proceeding No. 2007007727601 Which sanctioned the Respondent as follows:
  - a. suspended for four (4) months from associating with any member of FINRA in any capacity; and
  - b. fined \$5,000.
3. That the Order found:

On or about November 28, 2006, the Respondent affixed the signature of JM, the spouse of a public customer, to a spousal consent provision on an individual retirement account application; At the time he affixed the spouse's signature to the document, he did not have the spouse's permission and authorization; Immediately after signing the spouse's name, the Respondent signed his own name for purposes of representing that he had witnessed the spouse's signature, which he had not; During all times mentioned herein, Financial Investment Corp. maintained a compliance manual which prohibited a representative from committing forgery; The individual retirement account application signed by the Respondent on behalf of JM did not contain any notation evidencing that it had been signed by someone other than JM; and The acts, practices and conduct described above constitute separate and distinct violations of NASD Conduct Rule 2110 by Respondent.

Based on the foregoing, Respondent has violated NASD Rule 2110.

4. That Section 8.E(1)(j) of the Act provides, inter alia, that the registration of a salesperson may be revoked if the Secretary of State finds that such Salesperson has been suspended by any self-regulatory organization Registered under the Federal 1934 Act or the Federal 1974 Act arising from any fraudulent or deceptive act or a practice in violation of any rule, regulation or standard duly promulgated by the self-regulatory Organization.
5. That FINRA is a self-regulatory organization as specified in Section 8.E(1)(j) of the Act.

WHEREAS, by means of the Stipulation Respondent has acknowledged, without admitting nor denying the averments, that the following shall be adopted as the Secretary of State's Conclusion of Law:

That by virtue of the foregoing, the Respondent's registration as a salesperson in the State of Illinois is subject to revocation pursuant to Section 8.E(1)(j) of the Act.

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WHEREAS, by means of the Stipulation Respondent has acknowledged and agreed that his registration as a salesperson in the State of Illinois shall be suspended for five (5) months. Such suspension shall begin on August 17, 2009 and terminate on January 16, 2010.

WHEREAS, by means of the Stipulation Respondent has acknowledged and agreed that he shall be levied costs incurred during the investigation of this matter in the amount of One Thousand Five Hundred dollars (\$1,500.00). Said amount is to be paid by certified or cashier's check, made payable to the Office of the Secretary of State, Securities Audit and Enforcement Fund.

WHEREAS, by means of the Stipulation Respondent has acknowledged and agreed that he has submitted with the Stipulation a certified or cashier's check in the amount of One Thousand Five Hundred dollars (\$1,500.00) to cover costs incurred during the investigation of this matter. Said check has been made payable to the Office of the Secretary of State, Securities Audit and Enforcement Fund.

WHEREAS, by means of the Stipulation Respondent has acknowledged that on March 17, 2010 he has re-taken and successfully passed FINRA's Series 7 examination .

WHEREAS, by means of the Stipulation Respondent has acknowledged and agreed that he has executed a certain Affidavit which contains undertakings that he will adhere to upon entry of this Consent Order. Said Affidavit is incorporated herein and made a part hereof.

WHEREAS, the Secretary of State, by and through his duly authorized representative, has determined that the matter related to the aforesaid formal hearing may be dismissed without further proceedings.

NOW THEREFORE IT SHALL BE AND IS HEREBY ORDERED THAT:

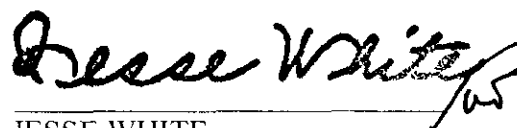
1. The Respondent's registration as a salesperson in the State of Illinois shall be suspended for five (5) months. Such suspension shall begin on August 17, 2009 and terminate on January 16, 2010.
2. The Respondent is levied costs of investigation in this matter in the amount of One Thousand Five Hundred dollars (\$1,500.00), payable to the Office of the Secretary of State, Securities Audit and Enforcement Fund, and on March 24, 2010 has submitted full payment thereof.

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3. The Respondent shall comply with all of the terms and conditions contained in his accompanying Affidavit which has been made a part of this Order.
4. The formal hearing scheduled on this matter is hereby dismissed without further proceedings.

ENTERED This 24<sup>th</sup> day of March 2010.

A handwritten signature in black ink that reads "Jesse White" with a stylized flourish at the end.

JESSE WHITE  
Secretary of State  
State of Illinois

Daniel A. Tunick  
Enforcement Attorney  
Illinois Securities Department  
Office of Secretary of State  
69 West Washington St.- Suite 1220  
Chicago, IL 60602  
Telephone: 312.793.4433  
Facsimile: 312.793.1202